



Core FT1:

Business & Industry , File 9 (1994 - present)
ABI/INFORM®, File 15 (1971 - present)
Gale Group PROMT®, File 16 (1990 - present)
Gale Group PROMT®, File 160 (1972-1989)
Gale Group Trade & Industry Database , File 148 (1976 - present)
Gale Group Computer Database , File 275 (full-text 1/1988 - present)
Business Wire, File 610 (Mar 1999 - present)
Business Wire, File 810 (1986 - February 1999)

Core FT2:

Dialog Global Reporter, File 20 (May 1997 - present)
The McGraw-Hill Companies Publications Online, File 624 (1985 - present)
Gale Group New Product Announcements/Plus® (NPA/Plus, File 621 (1985 - present)
Gale Group Newsletter Database , File 636 (1988 - present)
PR Newswire, File 613 (May 1999 - present)
San Jose Mercury News, File 634 (Jun 1985 - present)
PR Newswire, File 813 (May 1987 - May 1999)

Sub35FT:

McClatchy-Tribune Information Service, File 608 (Jan 1989 - present)
American Banker Financial Publications, File 625 (1981 - June 2008)
Banking Information Source, File 268 full-text (1994 - present)
Bond Buyer Full Text, File 626 (November 1981 - April 2008)
DIALOG Finance & Banking Newsletters, File 267 (1996 - present)

Set#	Query
L1	SEGREGATED WITH ACCOUNT
L2	sub adj2 account\$3
L3	segrgat\$2 with account\$3

L4	segregat\$2 with account\$3
L5	owner ownership
L6	COMPAN\$3
L7	organization\$2
L8	enterprise enterprize
L9	nonvoting with stock
L10	((investment with discretion) with (gains proceeds profit\$1)) with share\$1

57/9/1 (Item 1 from file: 813)

1233896 NYW111

NYSE Summarily Suspends Eight Members and Four Member Firms; U.S. Attorney's Office and SEC Also Take Action Against Members and Others

Date: February 25, 1998 **14:42 EST** **Word Count: 643**

NEW YORK

, Feb. 25 /PRNewswire/ -- The New York Stock Exchange, following its own investigation and following investigations by the U.S. Attorney's Office and the Securities and Exchange Commission, has summarily suspended eight NYSE members and four member firms owned or controlled by certain of those members.

The United States Attorney's Office in Manhattan today announced that it had filed criminal charges in federal court against, among others, the same individual NYSE members, as well as a non-NYSE broker-dealer and its two principals. Throughout the investigation, the NYSE provided the U.S. Attorney's Office with material assistance, including the assignment of NYSE surveillance investigators to the office.

The Securities and Exchange Commission has filed a federal civil enforcement action against, among others, the same members and member firms suspended by the NYSE, as well as the same non-NYSE broker-dealer and its two principals.

The Exchange has determined that the members are in such operating difficulty that they cannot be permitted to continue to do business with safety to investors, creditors, other members or member firms, or the NYSE. Both the eight members and four member firms have been prohibited from access to services offered by the NYSE, and access to Exchange premises, including the trading floor.

"Our enforcement market surveillance divisions have aggressively worked hand-in-hand with the U.S. Attorney's Office on this investigation," said NYSE chairman and chief executive officer, Richard A. Grasso. "Any activity by a NYSE member or member firm that violates federal securities laws or NYSE rules simply will not be tolerated. This has long been paramount as we preserve the integrity of our marketplace.

"This is truly an example of what can be accomplished when the federal prosecutor, the federal regulatory authorities and self-regulatory organizations work in cooperation toward a common goal," added Mr. Grasso. "We commend MaryJo White and the entire staff of U.S. Attorney's Office for the vigorous and professional way it has pursued this investigation."

The suspended members are alleged to have initiated certain transactions in equity securities on the floor of the Exchange for accounts in which they had an interest and over which they exercised **investment discretion**, and to have **shared** in the **profits** and/or losses from those transactions with the non-member securities firm. The true nature of the transactions and the members' interest in those transactions are alleged to have been concealed through false attestations to the Exchange and the falsification of books and records, including the submission of false invoices.

The NYSE summarily suspended the members and member firms alleging that their conduct violated federal securities laws and regulations and Exchange rules governing trading by Exchange members on the trading floor for their own accounts, or accounts in which they exercise investment discretion, and record keeping requirements. Such conduct is governed by Sections 11(a) and 17(a) of the Securities Exchange Act of 1934, Regulations 240.11a-1 (pertaining to trading on exchanges) and 240.17a-3 (books and records requirements) promulgated pursuant to the Exchange Act, and Exchange Rules 90(a) (concerning dealings by members on the NYSE), 95(a) (discretionary transactions), 111(a) (on-Floor trading), 342.21 (trade review and investigation) and 440 (books and records).

The individuals and firms summarily suspended and prohibited from access to services offered by the NYSE are:

Christine A. Beyer;

Robert M. Carucci, President of R.M. Carucci Corp.,

and R.M. Carucci Corp.;

Thomas J. Cavallino, President of Oakwood Securities Inc.,

and Oakwood Securities Inc.;

John R. D'Alessio, President of D'Alessio Securities, Inc.,

and D'Alessio Securities, Inc.;

Michael A. Frayler, President of Touchdown Securities, Inc.,

and Touchdown Securities, Inc.;

Edward J. Mueger;

John J. Savarese; and

Mark Savarese.

The suspended members, and member firms have a right to a prompt hearing at the NYSE on the suspensions.

SOURCE New York Stock Exchange

CONTACT: Lynn Newman of the New York Stock Exchange, 212-656-2065

Company Name: NEW YORK STOCK EXCHANGE
Product: BANKING, FINANCIAL SERVICES (FIN)
State: NEW YORK (NY)
Section Heading: BUSINESS

57/9/2 (Item 2 from file: 621)
01584545 **Supplier Number:** 48083535
Simulation Sciences Announces Follow-On Stock Offering.

Business Wire , p 10290414
Oct 29 , 1997
Language: English **Record Type:** Fulltext
Document Type: Newswire ; Trade
Word Count: 454

Text:

BREA, Calif.--(BUSINESS WIRE)--Oct. 29, 1997--Simulation Sciences Inc. ("SIMSCI" or the "Company") (Nasdaq:SMCI) Wednesday announced that it has filed a registration statement with the Securities and Exchange Commission relating to the proposed underwritten public offering of 2,600,000 shares of common stock, of which 2,500,000 will be sold by SIMSCI and 100,000 will be sold by certain stockholders of the Company.

SIMSCI has also granted to the underwriters a 30-day option to purchase up to 390,000 additional shares of common stock solely to cover over-allotments, if any.

The managing underwriters for the offering will be BT Alex. Brown Inc.; Wessels, Arnold & Henderson L.L.C.; and SoundView Financial Group Inc.

SIMSCI expects to use the net proceeds from the offering for general corporate purposes and working capital, including continued investments in product development and expansion of sales and marketing activities. The Company has not yet identified specific uses for such **proceeds** and will have **discretion** over their use and **investment**. The Company will not receive any of the net **proceeds** from the sale of the **shares** by the selling stockholders.

When available, a copy of the preliminary prospectus may be obtained from:

BT Alex. Brown Inc. Wessels, Arnold & Henderson L.L.C. One South Street 601 Second Ave. South, Suite 3100 Baltimore, MD 21022 Minneapolis, MN 55402-4314 Tel: 410-727-1700 Tel: 612-373-6100

SoundView Financial Group Inc. 22 Gatehouse Road Stamford, CT. 06911-0236 Tel: 203-462-7200

A registration statement relating to these securities has been filed with the Securities and Exchange Commission but has not yet become effective. These securities may not be sold nor may offers to buy be accepted prior to the time the registration statement becomes effective.

This communication shall not constitute an offer to sell or the solicitation of an offer to buy nor shall there be any sale of these securities in any state in which such offer, solicitation or sale would be unlawful to registration or qualification under the securities laws of any such state.

About SIMSCI

Simulation Sciences is a leading provider of commercial application

software and related services to the petroleum, petrochemical, industrial chemical and other process industries as well as the engineering and construction firms that support those industries.

SIMSCI's software products are designed to increase customers' profitability by reducing their capital investment costs, increasing yields, improving product quality and enhancing management decision making. SIMSCI maintains offices in Brazil, Egypt, Germany, Japan, Singapore, the United Kingdom, the United States and Venezuela, and provides support and service to more than 650 customers in over 65 countries.

For more information about SIMSCI, visit the SIMSCI Website at <http://www.simsci.com>

CONTACT: Simulation Sciences Inc.
Bryce Betteridge, 253/564-6887
Internet: bbetteridge@simsci.com

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Publisher Name: Business Wire

Company Names: *Simulation Sciences Inc.

Event Names: *810 (Securities issued, listed)

Geographic Names: *1USA (United States)

Product Names: *7372400 (Applications Software)

Industry Names: BUS (Business, General); BUSN (Any type of business)

NAICS Codes: 51121 (Software Publishers)

57/9/3 (Item 3 from file: 621)

01580915 **Supplier Number:** 48056537

Security Dynamics Technologies Inc. Commences Public Offering of 3,000,000 Shares of Common Stock

PR Newswire , p 1016NETH011

Oct 16 , 1997

Language: English **Record Type:** Fulltext

Document Type: Newswire ; Trade

Word Count: 343

Text:

BEDFORD, Mass., Oct. 16 /PRNewswire/ -- Security Dynamics Technologies Inc. (Nasdaq: SDTI) today announced the commencement of its public offering of 3,000,000 shares of Common Stock at a price of \$39.50 per share. The transaction includes 1,176,000 shares being offered by the Company and 1,824,000 shares being offered by selling stockholders, including 1,348,206 shares issued to certain selling stockholders on July 15, 1997 in conjunction with the acquisition by the Company of DynaSoft AB.

The offering is being managed by BT Alex. Brown Incorporated, BancAmerica Robertson Stephens and Cowen & Company.

The Company expects to use the net proceeds from the offering for general corporate purposes, including possible acquisitions. The Company has not as yet identified specific uses for such **proceeds** and will have **discretion** over their use and **investment**.

The Company will not receive any of the net **proceeds** from the sale of **shares** by selling stockholders.

Security Dynamics is the leading provider of enterprise network and data security solutions. Security Dynamics' products help organizations conduct business securely, protect corporate information assets and facilitate business-to-business and business-to-consumer electronic commerce.

A copy of the prospectus may be obtained from:

BT Alex. Brown Incorporated
1 South Street
Baltimore, MD 21202
Tel. 410-727-1700

or

BancAmerica Robertson Stephens
555 California Street, Suite 2600
San Francisco, CA 94104
Tel. 415-781-9000

or

Cowen & Company
One Financial Square
New York, NY 10005
Tel. 212-495-6000

This communication shall not constitute an offer to sell or the solicitation of an offer to buy nor shall there be any sale of these securities in any jurisdiction in which such an offer, solicitation or sale would be unlawful prior to the registration or qualification under the securities laws of any such jurisdiction.

SOURCE Security Dynamics Technologies Inc.

-0- 10/16/97

/CONTACT: Marian O'Leary, Chief Financial Officer of Security Dynamics Technologies, 617-687-7733/

(SDTI)

CO: Security Dynamics Technologies Inc.; BT Alex. Brown Incorporated;
BancAmerica Robertson Stephens; Cowen & Company
ST: Massachusetts
IN: CPR
SU: OFR

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5445 10/16/97 08:28 EDT <http://www.prnewswire.com>

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Publisher Name: PR Newswire Association, Inc.
Company Names: *Security Dynamics Technologies Inc.
Event Names: *810 (Securities issued, listed)
Geographic Names: *1USA (United States)
Product Names: *3662300 (Intercom, Signal & Alarm Eqp)

Industry Names: BUS (Business, General); BUSN (Any type of business)
NAICS Codes: 33429 (Other Communications Equipment Manufacturing)
Ticker Symbols: SDTI

57/9/4 (Item 4 from file: 621)

01568380 **Supplier Number:** 47960967

Security Dynamics Technologies Inc. Files Registration Statement With Respect to Public Offering of 2,500,000 Shares of Common Stock

PR Newswire , p 905NEF011

Sept 5 , 1997

Language: English **Record Type:** Fulltext

Document Type: Newswire ; Trade

Word Count: 551

Text:

BEDFORD, Mass., Sept. 5 /PRNewswire/ -- Security Dynamics Technologies Inc. (Nasdaq: SDTI) today announced that it has filed a Registration Statement with the Securities and Exchange Commission with respect to a proposed underwritten public offering of 2,500,000 shares of Common Stock. Of these shares, 676,000 are being offered by the Company and 1,824,000 are being offered by certain selling stockholders. In addition, the Company has granted the Underwriters an option to purchase up to an additional 375,000 shares of Common Stock to cover over-allotments, if any.

The offer is being managed by BT Alex. Brown Incorporated, Robertson, Stephens & Company LLC and Cowen & Company.

The Company expects to use the net proceeds from the offering for general corporate purposes, including possible acquisitions. The Company has not as yet identified specific uses for such **proceeds** and will have **discretion** over their use and **investment**. The Company will not receive any of the net **proceeds** from the sale of **shares** by selling stockholders.

On August 22, 1997, the Company filed a Registration Statement with the Securities and Exchange Commission with respect to 396,387 issued and outstanding shares of Common Stock on behalf of certain selling stockholders. These shares were issued to the selling stockholders on July 15, 1997 in connection with the acquisition by the Company of DynaSoft AB, a company based in Sweden offering a range of security solutions, including secure single sign-on (SSSO) solutions, through its BoKS product family. The selling stockholders have advised the Company that they propose to sell, from time to time, all or part of the shares on the Nasdaq National Market at market prices prevailing at the time of sale, at prices related to such market prices or at negotiated prices. The Company will not receive any of the net proceeds from the sale of shares by the selling stockholders.

Security Dynamics is the leading provider of enterprise network and data security solutions. Security Dynamics' products help organizations conduct business securely, protect corporate information assets and facilitate business-to-business and business-to-consumer electronic commerce.

When available, a copy of the preliminary prospectus relating to the underwritten offering may be obtained from:

BT Alex. Brown Incorporated
1 South Street
Baltimore, MD 21202
Tel. 410-727-1700

or

Robertson, Stephens & Company LLC
555 California Street, Suite 2600
San Francisco, CA 94104
Tel. 415-781-9000

or

Cowen & Company
One Financial Square
New York, NY 10005
Tel. 212-495-6000

A registration statement relating to these securities has been filed with the Securities and Exchange Commission but has not yet become effective. These securities may not be sold nor may offers to buy be accepted prior to the time the registration statement becomes effective. This communication shall not constitute an offer to sell or a solicitation of an offer to buy nor shall there be any sale of these securities in any jurisdiction in which such an offer, solicitation or sale would be unlawful prior to the registration or qualification under the securities laws of any such jurisdiction.

SOURCE Security Dynamics Technologies Inc.

-0-

9/5/97

/CONTACT: Marian O'Leary, Chief Financial Officer of Security
Dynamics Technologies Inc., 617-687-7733/

(SDTI)

CO: Security Dynamics Technologies Inc.; BT Alex. Brown Incorporated;
Robertson, Stephens & Company LLC; Cowen & Company
ST: Massachusetts
IN: CPR
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NAICS Codes: 33429 (Other Communications Equipment Manufacturing)

Ticker Symbols: SDTI
